

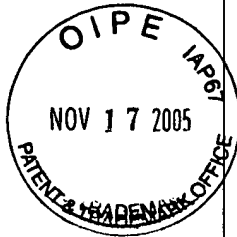
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: DARREN CHI

Application No.: 09/364,821

Filing date: July 30, 1999

For: GENERIC DETECTION AND  
ELIMINATION OF MACRO VIRUSES



Confirmation No.: 9940

Group Art Unit: 2135

Examiner: Leynna Ha

Attorney Docket No.: 44420423-4318

**INFORMATION DISCLOSURE  
STATEMENT**

SONNENSCHN NATH & ROSENTHAL LLP  
Customer No. 45969

Mail Stop RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

date: Nov. 15, by: Edward J. Radlo  
2005 Edward J. Radlo  
Reg. No. 26,793

Sir:

Applicant submits herewith patents, publications or other information [attached hereto and listed on the attached Form PTO-1449 (modified)] of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

This Information Disclosure Statement:

- (a) ☐ accompanies the new patent application submitted herewith. 37 CFR § 1.97(a).
- (b) ☐ is filed within three months after the filing date of the application or within three months after the date of entry of the national stage of a PCT application as set forth in 37 CFR § 1.491.
- (c) ☒ as far as is known to the undersigned, is filed before the mailing date of a first Office Action on the merits, or before a first Office Action after filing a Request for Continued Examination under § 1.114.
- (d) ☐ is filed after the first office action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned, prior to the mailing date of either a final rejection or a

notice of allowance, whichever occurs first, and is accompanied by either the fee (\$180) set forth in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below.

- (e) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, whichever occurred first, and the Issue Fee has not been paid, and is accompanied by the fee (\$130) set forth in 37 CFR § 1.17(i)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

[If either of boxes (d) or (e) is checked above, the following "certification" under 37 CFR § 1.97(e) may need to be completed.] The undersigned certifies that:

- (f) ☐ Each item of information contained in the information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.
- (g) ☐ No item of information contained in this information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this information disclosure statement.

A list of the patents and publications is set forth on the attached Form PTO-1449

(Modified).

(Modified). A copy of the items on PTO-1449 (Modified) is supplied herewith, except for issued United States Patents and Published United States Patent Applications.

A concise explanation of relevance of the items listed on form PTO-1449 (Modified) is:

- (h) ☐ not given
- (i) ☐ given for each listed item
- (j) ☒ given for only the two non-English language listed items. Cite no. 22: The **DE 100 21 686 A1** reference discusses a method for reducing the distribution of computer viruses in an e-mail network. Cite no. 25: The **von Babo** reference pertains to the infestation of computer files by viruses. The viruses can reside in data files and backups thereto.

(k) ☐ is in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references [copy attached].

The Examiner is reminded that a "concise explanation of the relevance" of the submitted items "may be nothing more than identification of the particular figure or paragraph of the patent or publication which has some relation to the claimed invention," MPEP § 609.

While the information and references disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(a) exists. It is submitted that the Information Disclosure Statement is in compliance with 37 CFR § 1.98 and MPEP § 609, and the Examiner is respectfully requested to consider the listed references.

The USPTO is authorized to charge the fee of \$180.00 set forth in 37 C.F.R. §1.17(p) to the credit card authorization enclosed herewith.

The Commissioner is hereby authorized to credit overpayments or to charge any deficiency in a required fee to Deposit Account No. 19-3140. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

date of signature:

Nov. 15, 2005

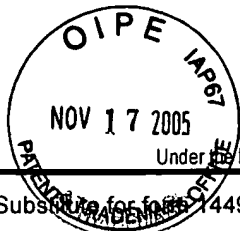


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cc: IP/T docket CH (w. encl.)

The PTO did not receive the following  
listed item(s) Credit-card  
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Submitter for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			Complete if Known		
			Application Number	09/364,821	
			Filing Date	July 30, 1999	
			First Named Inventor	Darren Chi	
			Group Art Unit	2135	
			Examiner Name	Leynna Ha	
			Attorney Docket Number	44420423-4318	
Sheet	1	of	2		

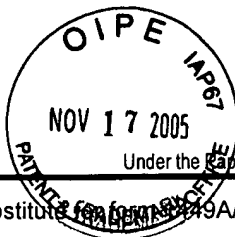
U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	1	US-6,052,709 A	04-18-2000	Paul et al.	
	2	US-2002/0083175 A1	06-27-2002	Afek et al.	
	3	US-2005/0021740	01-2005	Bar et al.	
	4	US-2003/0191966	10-2003	Gleichauf, Robert E.	
	5	US-5,440,723	08-1995	Arnold et al.	
	6	US-6,070,244	05-2000	Orchier et al.	
	7	US-6,370,648	04-2002	Diep, Thanh A.	
	8	US-2002/0046275	04-2002	Crosbie et al.	
	9	US-2003/0051026	03-2003	Carter et al	
	10	US-2003/0115485	06-2003	Milliken, Walter Clark	
	11	US-2003/0236995	12-2003	Fretwell, Lyman J. Jr.	
	12	US-2005/0044406	02-2005	Stute, Michael	
	13	US-6,910,134	06-2005	Maher et al.	
	14	US-5,960,170	09-1999	Chen et al.	
	15	US-2002/0157008	10-2002	Radatti, Peter V.	
	16	US-6,763,462	07-2004	Marsh, David	
	17	US-2003/0120951	06-2003	Gartside et al.	
	18	US-2002/0091940	07-2002	Wellborn et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	19	WO 97/39399 A2	10-23-1997	Trend Micro, Inc.		
	20	WO 01/91403 A2	11-29-2001	V.N. Hermes, Inc.		
	21	WO 02/05072 A2	01-17-2002	Messagelabs Ltd.		
	22	DE 100 21 686 A1	11-08-2001	Deutsche Thomson-Brandt GmbH		
	23	EP 1 280 039 A2	01-29-2003	Networks Associates Technology Inc.		
	24	GB 2 364 142 A	01-16-2002	Robert Morris		

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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<b>Substitute for form PTO/A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)  Sheet 2 of 2		<b>Complete if Known</b>	
		Application Number	09/364,821
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		Group Art Unit	2135
		Examiner Name	Leynna Ha
		Attorney Docket Number	44420423-4318

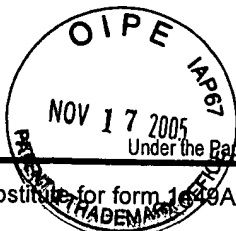
OTHER ITEMS - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	CiteNo. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	25	VON BABO, Michael, "Zehn Mythen um Computerviren: Dichtung und Wahrheit über den Schrecken des Informatikzeitalters," 1155 Technische Rundschau, Bern, Switzerland, Vol. 84, No. 36. September 4, 1992, pp. 44-47.	
	26	Toth et al., "Connection-history based anomaly detection", Proceedings of the 2002 IEEE Workshop on Information Assurance and Security, West Point, NY, 17-19 June 2002. pp 30-35.	

Examiner Signature		Date Considered	
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 2

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	21	WO 02/05072 A2	01-17-2002	Messagelabs Ltd.		
	22	DE 100 21 686 A1	11-08-2001	Deutsche Thomson- Brandt GmbH		
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